

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

ALPINE SECURITIES CORPORATION,

Defendant.

Civil No. 1:17-CV-04179-DLC

Honorable Judge Denise L. Cote
Magistrate Judge Ronald L. Ellis

**DECLARATION OF MARANDA FRITZ IN OPPOSITION TO
PLAINTIFF SECURITIES AND EXCHANGE COMMISSION'S
MOTION FOR SUMMARY JUDGMENT ON LIABILITY**

I, Maranda E. Fritz, pursuant to 28 U.S.C. § 1746, declare under penalty of perjury under the laws of the United States of America that the following statements are true and correct:

1. I am a resident of the State of New York and well over 18 years of age, and make the statements herein based on my personal knowledge.

2. I am one of the attorneys for Alpine Securities Corporation ("Alpine"), the above-named Defendant, in its action against Plaintiff United States Securities and Exchange Commission ("SEC").

3. Pursuant to Local Rule 56.1, the SEC has filed a Motion for Summary Judgment on Liability (the "Motion") and I submit this declaration in opposition to their Motion.

4. Attached hereto is an Exhibit List of Alpine's exhibits in opposition to the SEC's Motion which corresponds to the discussion of the exhibits in Defendant's Response to SEC's Statement of Material Facts and Additional Statement of Material Facts.

5. Exhibits 2 through 4, 10, 15, 16 and 82 are true and correct copies of testimony taken in this or related proceedings. Those exhibits are being filed under seal pursuant to the Order dated July 12, 2018 (ECF No. 145) by the Honorable Denise L. Cote.

6. Exhibits 1, 67, 204 and 205 are true and correct copies of declarations of Randy Jones and Erin Zipprich Green, submitted by Alpine. Exhibit 205 is being submitted under seal.

7. Exhibit 247 is a true and correct copy of the Rule 56(d) Declaration.

8. Exhibits 5, 17, and 72 are true and correct copies of submissions from experts which are being filed under seal.

9. Exhibits 55, 64, 182, 206, 242 and 248 are true and correct copies of charts prepared by the parties, which are being filed under seal.

10. Exhibits 6, 7, 11, 69 through 71, 132, 136, 202, 203, and 241 are true and correct copies of publications or releases relating to broker-dealer regulation and anti-money laundering issues.

11. Exhibits 8, 9, 12 through 14, 20, 21, 65, 66, 68, 133, 134, 137, 138, 245, 246 and 249 are true and correct copies of pleadings or Alpine documents that have been produced in this proceeding. Exhibits 20, 21, 65 and 66 are being filed under seal.

12. Exhibits 22 through 54, 56 through 63, 74 through 81, 83 through 131, 135, 140 through 181, 193 through 201, 207 through 240, and 250 through 587 are true and correct copies of Suspicious Activity Reports and Support Files which were produced during or available to the parties in this proceeding, which are being filed under seal.

WHEREFORE, I declare under penalty of perjury that the foregoing is true and correct.

DATED this 14th day of August, 2018.

/s / Maranda E. Fritz

Maranda E. Fritz